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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JUL 27 2001  
Technology Center 2100

Applicant(s): Rowe

Serial No.: 09/660,824

Filed: 9/13/2000

Title: A Mechanism to Survive Server  
Failures When Using The CIFS  
Protocol

Group Art Unit:  
NYA  
Examiner:  
NYA

Attorney Docket No.: 103.1046.01

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Certification under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:  
☐ Certification under 37 CFR 1.97(e), and  
☐ a petition under 37 CFR 1.97(d)(2)(ii), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(i)(1).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO SB 08 A & B-Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.



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The relevance of the attached references is that this is the closest art of which Applicant is aware. Applicant submits that the above references taken alone or in combination neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: 7-17-2001

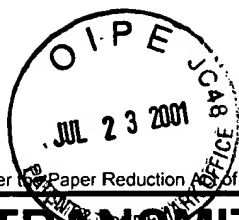
Typed Name: Arlette Malhas, Paralegal

Signature: Arlette Malhas

Steven A. Swernofsky  
Steven A. Swernofsky  
Attorney/Agent for Applicant(s)  
Reg. No. 33,040

Date: 7/17/01

Telephone No.: 650-947-0700



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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number

09/660,824

Filing Date

Sep 13, 2000

First Named Inventor

Rowe

Group Art Unit

NYA

Examiner Name

NYA

Total Number of Pages in This Submission

21

Attorney Docket Number

103.1046.01

RECEIVED  
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Fee Transmittal Form

☐

Fee Attached

☐

Amendment / Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☒

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐Response to Missing Parts/  
Incomplete Application☐Response to Missing  
Parts under 37 CFR  
1.52 or 1.53☐Assignment Papers  
(for an Application)☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐Petition to Convert a  
Provisional Application☐Power of Attorney, Revocation  
Change of Correspondence Address☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) \_\_\_\_\_

☐After Allowance Communication to  
Group☐Appeal Communication to Board of  
Appeals and Interferences☐Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)☐

Proprietary Information

☐

Status Letter

☐Other Enclosure(s)  
(please identify below):☒PTO SB 08 A & B  
Copies of Art References  
Return Postcard

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual name

Steven A. Swernofsky

Reg. no. 33,040

Signature

Date

7/17/01

**CERTIFICATE OF MAILING**

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Type or printed name

Arlette Malhas, Paralegal

Signature

Date

7-17-2001

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	2
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*Complete if Known*

<b>Application Number</b>	09/660,824
<b>Filing Date</b>	9/13/2000
<b>First Named Inventor</b>	Rowe
<b>Group Art Unit</b>	NYA
<b>Examiner Name</b>	NYA
<b>Attorney Docket Number</b>	103.1046.01

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## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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